



# Registration, Results and Certification Policy and Procedure – March 2022

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## Introduction

Qualifi, as a recognised UK awarding organisation, is required to retain up to date and accurate information for all registered learners<sup>1</sup>, including information relating to registration and achievements. It is, therefore, a requirement of all approved centres, delivering Qualifi regulated and non-regulated qualifications and units, that they retain accurate data relating to their learners. This information must be made available, at any time, to Qualifi or its regulators.

Approved centres are responsible for the recording and submission of all registrations, achievements, and certification information of all learners, including those centres that operate from multiple sites. Qualifi will provide centres with a Learner Data Submission Return to use to submit this information.

Approved Centre must ensure that their registration/application procedures and documentation used for the collection and recording of the data meets the requirements outlined in this document. Failure to submit accurate and complete data may result in an investigation into suspected malpractice and/or maladministration and/or sanction.

## Learning Records Service (UK Centres only)

UK centres delivering regulated qualifications should be registered with the Learning Record Service (LRS), to enable learners' achievements to be recorded on their individual learner record. Centres may need to register any learner who is not currently registered with the LRS. Learners may be issued with a unique learner number (ULN) and the Personal Learner Record (PLR), including the use of Privacy Notices telling Learners how the information they supply may be used to issue a ULN and create a PLR. Centres should visit: [Using the learning records service \(LRS\) for learning providers and local authorities - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/using-the-learning-records-service-lrs-for-learning-providers-and-local-authorities) for further up-to-date information.

## Recruitment and Enrolment

Approved Centres have a responsibility to ensure that learners:

- are given correct advice and guidance to be able to make informed decisions;
- understand the purpose of the qualification and any choices relating to pathways or optional units;
- understand the assessment requirements of any qualification;
- meet any entry criteria;
- are able to cope with the demands of the qualification.

The approved centre enrolment process should gather information relating to prior learning, refer to Qualifi *Recognition of Prior Learning Policy and Procedure* and whether the learner has any specific learning requirements or requires any adjustment to learning or assessment, refer to *Qualifi Access to Fair Assessment Policy and Procedure*. Records of RPL and any Reasonable Adjustment should be retained on the Approved Centre learner records and submitted to Qualifi on request.

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<sup>1</sup>Also known as a student or candidate

## Learner Identity Authentication

Approved Centres are required to authenticate learner identity during the enrollment/registration processes. Learners must be asked to provide a copy of photographic identification, such as a passport or driving license and evidence of permanent address e.g., utility bill, bank statement.

A copy of learner photographic identification must be retained within the learner's record. Qualifi reserve the right to request copies of identification documentation at any time and compliance with this requirement will be monitored during external quality assurance monitoring

## Learner Registration Procedure

Following approval, centres will be provided with guidance on the process and the necessary documentation in order to register learners for both regulated qualifications and other Qualifi endorsed programmes (as applicable).

Centres are required to submit electronically to Qualifi a Learner Data Return monthly, (as a minimum requirement). Submission should be made on the last working day of every month or within 3 working days after the month end, whichever is sooner.

Centres that do not have any registrations during the month are required to inform Qualifi that there has been NIL registrations during this period.

This information must be sent electronically to the email address provided at the time of centre approval.

Monitoring of registrations are carried out monthly on all approved centres for both regulated qualifications and endorsed programmes.

## Timescales for Registrations

The following timescales for all learner registrations to be submitted to Qualifi, are as follows:

- For programmes of 6 months' duration or longer, learners must be registered at the Qualifi approved centre within **30 days** of the start of the programme.
- For programmes of less than 6 months' duration, learners must be registered within **10 days** of the start of the programme.
- For Programmes of less than 30 hours, learners must be registered prior to the start date, or no later than the **first day** of the programme.

## Late Registration Fees

Late registration fees may be applied to any centre that submits learner registrations outside the above timescales, as follows:

0-9 days	registration + 25%
10-29 days	registration + 50%
30+ days	registration + 100%

Approved centres who continually fail to register learners within the timescales set may be subject to a suspected malpractice investigation and/or sanction.

## Rejecting Learner Registrations

Qualifi will not accept registrations (or claims for achievement) for any learners:

- after the date of completion of their training programme;
- prior the centre's "approval". Note: registrations cannot be re-submitted once approval has been granted;
- where the training programme approval end date or centre approval has lapsed or been withdrawn;
- where there has been no registrations for the programme(s) for a continuous period of 12 months or more. In these circumstances, centres must contact Qualifi directly to discuss options that may be available before submitting requests for registrations.

Registrations submitted under the above circumstances will be reviewed and may be subject to an investigation into suspected malpractice and/or may incur sanctions against the centre.

## Required Learner Data

The following data is required by Qualifi

### Learner Registration Data:

Field	Mandatory (Yes/No)	Summary
Programme or Qualification Title	Yes	Level and title of qualification/unit or endorsed programme issued at the time of approval – see formal notification
QAN or Qualifi Programme Reference	Yes	Issued to centres at the time of the qualification and/ or endorsed programme approval – see formal notification
Given/First Name	Yes	Name used by the learner and is required on the certificate. Use an initial capital letter.
Middle/Second Name	No	If the learner wants their full name on the certificate, then this must be submitted at the time of registration
Family/Last Name	Yes	Also referred to as a surname. Use an initial capital letter.
DOB (Date of Birth) DD/MM/YYYY	Yes	Used by Qualifi as a point of reference to identify the learner.
Gender	Yes	A regulatory requirement of Ofqual.
Email Address	Yes	Qualifi will not normally communicate directly with learners, however in order to fulfil its regulatory duty of care it is a requirement that direct contact details are submitted for all learners
Permanent Postal Address	Yes	
Contact Telephone Number	Yes	

Country Level	Yes	A regulatory requirement of Ofqual
UK Region	Yes	A regulatory requirement of Ofqual. Non-UK regions must state Not Applicable
Learner Reference Number	Yes	The centre must create a learner reference number system and issue unique reference numbers to each learner at the first point of registration to a Qualifi approved programme. This reference number should be used when registering the student for any other programmes within the centre. This reference may be unique to the learner for the duration of all their registrations submitted to /Qualifi.
Date of Registration	Yes	The date of the registration which should be the start date of the training programme.
Estimated Date of Completion	Yes	This date must reflect the duration of the qualification and the mode/type of learning
Proposed Units for RPL	Yes	If the learner is claiming RPL then the number of units they are proposing to claim under the RPL requirements must be identified at the time of registration. See notes on RPL in guidance document

### Learner Completion Data

Actual Date of Completion	Yes	The date when the learner has successfully achieved qualification/programme. This is date after the end of the training programme when the final assessment has been internally and externally verified.
Date of Partial Completion	No	This only applies to the qualifications where unit accreditation can be awarded
Grade	Yes	Refer to the qualification specification and verifier's report for grade. Non-achievements must also be graded as U (not completed)  Centres must also identify those learners who failed to complete their qualification/programme or did not achieve a minimum of a Pass grade

The learner data submitted by the centre will be used to process registrations and claims for achievement, therefore it is important that the data is checked for accuracy, prior to submission. Any errors may result in delays in processing and a fee may be charged for re-issuing certificates resulting from incorrect data provided by the centre.

**NOTE** The format of the learner data submitted by the centre will be used for certification. It is essential the learner is aware of this and gives the correct information at the point of registration.

## Amending Learner Data

Approved Centres are responsible for ensuring the learner data provided to Qualifi is complete and accurate at all times. Approved centres should notify Qualifi immediately if there are any changes to learner contact information, i.e., address, phone number, email address,

In the event of an error in learner data made during the submission (e.g., name), this can be amended *prior to* the final assessment. For any errors identified after the final assessment, i.e., at the point of certification, the Centre must contact Qualifi immediately stating the reason for the error, evidence will be required for any name change. This will be reviewed and if authorised a further certificate may be issued showing the wording “Replacement” and there may be a fee for this service, see Qualifi published Fees List.

## Withdrawal of Learners

Approved centres are responsible for ensuring they withdraw learners who will not complete their studies or assessment for a Qualifi qualification, the approved centre must inform Qualifi within **30 working days** of withdrawal. Qualifi will then withdraw the learner’s registration. Learner registration fees are non-refundable.

Should a registered learner choose to move to another Qualifi approved centre the transfer of registration will be at the discretion of Qualifi. Qualifi will require written confirmation from the learners current approved centre and the ‘receiving’ approved centre.

## Centres with Low or Zero Registrations

Centres are required to actively undertake promotional activities in a way as to recruit learners that are able to meet the entry requirements as outlined in the qualification and/or endorsed programme specification. Centres should keep records of all such activities as this information may be reviewed by Qualifi during centre visits/desktop reviews, which are focused on support and guidance of your centre.

Centres that fail to meet the minimum number of registrations per qualification (as outlined in the application for centre approval), in any 12-month period of approval will be categorised as high risk and may be issued with a suspension of approval notification. Qualifi, in such cases, will arrange a full quality assurance review of the centre (both in the UK and overseas), any related fee will be *payable in advance* of the visit and is non-refundable.

Centres that have not submitted any registrations for a qualification and/or endorsed programme may be issued with a formal notification to withdraw centre approval with immediate effect.

Please refer to your current Qualifi Centre Agreement, for further details.

## Making Claims for Achievement

Qualifi operates a **10-week rule** from the date of registration, as the minimum time required for learners to be registered before claiming for achievement. Claims for achievement made within ten weeks of registration may be rejected and the centre may be subject to suspected malpractice investigation.

It is a regulatory requirement that the centre maintains secure, accurate and complete records of learner progression and achievement (or non-achievement). It is also a requirement that the centre is able to provide evidence of all stages of internal quality assurance (formative and summative) and invigilation as

part of the assessment process. This information must be available, at any time, for monitoring purposes, to Qualifi's and/or its regulators.

If the final assessment is achieved using paper-based or on-screen examination, the centre must comply with the requirements outlined in Qualifi's Conducting External Examinations – Centre Compliance handbook, and in accordance with the JCQ Guidelines. The centre must submit an invigilator's report together with the assessment papers to Qualifi's Standards Verifier/assignment marker.

To submit the paper-based examinations, it is a requirement that centres use a secure delivery service with a suitable tracking facility.

Assessment papers, learners' answers and all other associated assessment materials must be stored securely prior to and, after the examination.

The learner achievements (or non-achievement if the learner has not achieved the grade required) must be recorded on the centre's learner record after internal quality assurance has been completed and then submitted to Qualifi at the end of the month in which the achievement (or partial completion) has taken place.

On a quarterly basis, this information is reported to Ofqual as part of Qualifi's regulatory requirements; it therefore, essential that all information is correctly submitted and on time.

## Issuing Results

### To centres

Qualifi expects to release results to centres within **20 working days** after the date of submission unless there are unforeseen circumstances such as an extraordinary high volume of submissions. Qualifi will notify centres if any delays are anticipated.

### To learners

Qualifi expects centres to release results to learners with **5 working days** of Qualifi publishing the Standards Verification report, unless there are unforeseen circumstances at the centre which have been fully discussed with Qualifi.

Qualifi reserves the right to release the results directly to learners if this is not adhered to.

## Certificate Despatch

The issuing of certificates is dependent on the approved centre submitting accurate documentation. The centres are advised to liaise with Qualifi before submitting learners' work for external quality assurance.

The timescales for external verification and certificate authorisation is expected to be no longer than **30 working days** but may be longer at certain times in the year. The centre may be notified if there is expected to be an undue delay to this service.

Certificates will only be despatched directly to approved/primary centres. These must be stored securely and despatched to Learners promptly, as outlined in the Certificate Notification which will be included in the Certificate package (hard copy versions only). Records of dates for despatch to learners must be kept for Qualifi audit purposes.

Qualifi will not despatch certificates to any a satellite or other location. It is the responsibility of the approved/primary centre to dispatch certificates to learners and maintain dispatch records of the satellite or other locations. These records must all be kept by the approved/primary centre for Qualifi audit purposes.



Certificates will be dispatched using a secure and signed-for delivery service. For all non-UK centres, there may be additional fees incurred for dispatch of certificates, approved centres should refer to Qualifi published fees list for more information.

On receipt of the any certificates, the centre must immediately check the certificates for accuracy, against the Certificate Notification that accompanies the certificates. Any discrepancies must be reported immediately to Qualifi using the contact details at the end of this document.

The named appointed person at the approved centre must ensure all certificates are issued to the learners within **10 working days** of receipt from Qualifi. The centre must keep accurate records and details of the date and issue, e.g., signed-for delivery/courier, in person with a signature by the learner. These records must be available for inspection by Qualifi and/or its regulators at any time.

The centre should not keep a copy of the learner certificate without the prior permission of the learner and Qualifi.

Centres cannot withhold certificates due to non-payment of learner fees.

At all times, certificates remain the intellectual property of Qualifi and must not be altered or defaced as this may be considered to be fraudulent, and action may be taken against the centre and in some cases, centre approval may be withdrawn. Please refer to Qualifi's Sanctions Policy and Maladministration and Malpractice Policy.

## **Withholding Certificates**

Qualifi may withhold certificates where there is suspected malpractice on the part of the learner or the centre, or where there is reasonable evidence that there is a risk to the integrity of the qualification and/or certificate being issued. Qualifi reserve the right to withhold certificates for any endorsed programme if registration fees are outstanding at the time of despatch. Penalties for late payments may also be incurred.

## **Replacement Certificates**

Learners that require a replacement certificate should request this through their approved centre, if it is **within 3 months** of achievement, and the centre must complete the relevant application and send to Qualifi.

After this time, the learners should contact Qualifi directly using the contact details at the end of this document. There may be a charge for this service which is outlined in the published Qualifi Fees List.

The replacement certificate will clearly show that it a "replacement" of the original certificate issued to the learner. Qualifi will not make any changes to a replacement certificate.

The timescales for verification of request and dispatch of the replacement certificate is expected to be no longer than **30 working days** but may be longer at certain times in the year. There is also a fast-track delivery service for replacement certificates which aims to deliver certificates within 5 working days. An extra cost may be incurred for this service.

The centre/learner may be notified if there is expected to be an undue delay to any of these services.

At all times, the replacement certificate remains the intellectual property of Qualifi and must not be altered or defaced as this may be considered to be fraudulent, and action may be taken against the centre or the learner.

## Revoking Certificates

Qualifi has the right to revoke any certificate following the outcome of a malpractice/maladministration investigation or if the result leading to certification is found to be inaccurate or as a consequence of an appeals process.

Before any action is considered by Qualifi for revoking a certificate due to malpractice/maladministration a full investigation may be undertaken, further information can be found in the Qualifi Malpractice and Maladministration Policy and Procedure.

Learners and/or centres have the right to appeal against any decision made by Qualifi. This process is clearly outlined in Qualifi's Appeals Policy

See Qualifi website for list of all policies and procedures.

## Storage and Security of Data and Certificates

Approved centres must ensure they adhere to UK data protection legislation, including GDPR, and ensure that learners are made aware of what data is collected for registration and certification purposes and that this data will be shared with Qualifi and/or their regulators.

As the centre is processing personal information, it is a requirement (UK centres only) that they are registered with the Information Commissioner's Officer (ICO), unless you are exempt, and a member of staff be nominated as the data controller. For more information about the ICO, go to [www.ico.org.uk](http://www.ico.org.uk)

Centres are required to have data protection policies and procedures and it is strongly recommended that approved centres require learners to sign a data protection form confirming their understanding during the enrollment/registration procedure.

Learner data and all assessment data is confidential and should be stored securely within the approved centre and should only be accessed by authorised named personnel within the centre.

All certificates remain the intellectual property of Qualifi and must be stored securely in a locked cupboard and a locked room and only be accessed by authorised named personnel within the centre.

## Retention of Records

### Qualifi Retention of Records

To meet its regulatory obligations, Qualifi maintains an electronic register of all certificate and replacement certificate issued, outlining the Learners details and type of certificate (Original or Replacement) and reason for replacement e.g., damaged, or defaced.

### Approved Centre Retention of Records

Approved centres should retain copies of learner photographic identification, proof of address and approved centre enrolment/registration forms and all assessment documentation for a minimum of 3 years. Approved centres are required to make available all learner records on request of Qualifi and/or its regulators. Retention of learner records will be monitored during external quality assurance monitoring.

## Certificate Design and Review

All Qualifi certificates meet and comply with regulatory requirements. An outline of the minimum contents of certificates are as follows:

- All certificates will contain a unique learner and certificate identifier.

- Regulated qualification title as it appears on the Register of Regulated Qualifications.
- Regulated qualification and unit certificates will contain the relevant regulators' logos.
- Certificates for non-regulated qualifications and endorsed programmes will **not** include any regulator's logo.
- The language of assessment if different from English.
- Certificates issued as a replacement may clearly show it as a "Replacement".

The certificate design is reviewed in line with Ofqual's General Conditions of Recognition and any other relevant qualifications regulators.

## **Invoicing**

Approved Centres will be invoiced on registration of learners, registration fees are non-refundable, Approved Centres should refer to *Qualifi Fees and Charges Policy and published Fees List*.

## **Contact Details**

Contact Us: Telephone: 0161 818 9904 - Email: [support@qualifi-international.com](mailto:support@qualifi-international.com)